



# USEPA Office of Enforcement and Compliance Assurance FY 06 Multi-Media Grant Program Solicitation Notice

April 13, 2006

## OVERVIEW INFORMATION

### A. Required Overview Information

1. **Agency Name and Office:** U.S. Environmental Protection Agency (EPA), Office of Enforcement and Compliance Assurance (OECA), Office of Compliance (OC)
2. **Funding Opportunity Title:** FY 06 Multi-Media Grant Program Solicitation Notice
3. **Announcement Type:** Initial Announcement; Subject to availability; of funding solicitation notice.
4. **Funding Opportunity Number:** EPA-OECA-NPMAS-06-001
5. **Catalog of Federal Domestic Assistance (CFDA) Number:** 66.709
6. **Dates:**
  - May 30, 2006 – Deadline for submitting applications (proposal and partial grant application) to EPA.
  - July 30, 2006 – Notifications sent to applicants regarding funding recommendations.
  - August 31, 2006 – Completed grant applications, certifications are due to EPA regional office.
  - September 30, 2006– Reprogram funding to appropriate Regions.
  - First and Second Quarter of FY 2007 – Issuance of FY 2006 STAG Program Awards.

### B. Optional Overview Information

1. **Description:** The Office of Compliance (OC), within EPA's Office of Enforcement and Compliance Assurance (OECA), is soliciting proposals for states and tribes to strengthen their ability to address environmental and public health threats, while furthering the art and science of environmental compliance. This year there are two focus areas: (1) Permit Compliance System (PCS) Modernization and (2) Tribal Compliance Assurance. The total grant award to be funded is \$2,200,000 and will be awarded to selected proposals in the range of \$50,000 - \$200,000.
2. **Award Information:** The funds available are from OECA's Multi-Media State and Tribal Assistance Grants (STAG) appropriation. The grants or cooperative agreements should be in the range of \$50,000 to \$200,000, although proposals below or above that range will be considered. U.S. EPA anticipates that most of the available funding will be directed toward the PCS modernization funding area. The U.S. EPA reserves the right to make no awards under this solicitation. State and tribal matching funds are not required. EPA cannot predict that additional funds for these

focus areas will be available in future years. Therefore, states and tribes should assume that these funds will be available on a one-time only basis and should not propose projects requiring additional annual funding beyond the maximum three year period of the grant or cooperative agreement.

3. EPA Competition Policy: In accordance with EPA's Assistance Agreement Competition Policy (EPA Order 5700.5A1), EPA staff will not meet with individual applicants to discuss draft proposals, provide informal comments on draft proposals, or provide advice to applicants on how to respond to ranking criteria. Applicants are responsible for the contents of their applications/proposals. To provide more detailed information to applicants, a STAG fact sheet and answers to frequently asked questions have been prepared and are available at <http://www.epa.gov/compliance/planning/state/grants/stag/index.html>.

## **I. FUNDING OPPORTUNITY DESCRIPTION (Desired Projects)**

EPA will only consider funding projects for the following focus areas described below and for projects which can be completed in three years or less. Applications describing proposals for projects lasting more than 3 years may need to be re-negotiated to a 3 year fundable period. Please note, an applicant must not attempt to address more than one focus area in one proposal. Each focus area is separate and proposals from an applicant for each focus area category will be evaluated independently.

### **A. Focus Area - Permit Compliance System Modernization (PCS)**

In FY2006, OECA will continue its effort in the phased implementation of the Integrated Compliance Information System (ICIS). ICIS will be the single source for consolidated enforcement, compliance and National Pollutant Discharge Elimination System (NPDES). This new information management system will reduce burden and duplication by providing a single source of data entry, will improve public access to data, support the development of risk reduction strategies, and will provide states and regions with a modernized system to meet their program management needs. ICIS Phase I, the core federal enforcement and compliance multi media component of the system, was implemented in June 2002.

This project relates to USEPA Strategic Plan goals and objectives:

- Goal 5.1: Improve Compliance

Specifically, the modernization efforts of the NPDES system will result in the following outcomes and outputs:

- A greatly modernized and improved PCS data system that has greater State participation and more accurate and timely information.
- Improved State knowledge and ability to use the new system.
- A less burdensome data management system that enables States to respond to environmental compliance needs in a more timely and appropriate manner.

- Enhanced water quality and protection of public health, by freeing up resources that have had to be devoted to a cumbersome PCS system and using them for permitting, enforcement, and compliance monitoring activities.
- Improved facility compliance with the CWA, which enhances water quality and protects public health.
- Improve the ability of EPA and states to manage the NPDES permitting and enforcement program.
- Migrated and converted state and tribal data from PCS to ICIS-NPDES.
- State and tribal data that is 'cleaned-up' in PCS for migration and conversion to ICIS-NPDES per the PCS Data Clean-up List.
- Feasibility studies for state or tribal transitions to full use of ICIS-NPDES.
- Data entry of required wet weather data and required data for minor facilities into ICIS-NPDES.

The second phase of ICIS, known as ICIS-NPDES, is centered on the modernization of legacy PCS which supports the implementation of the Clean Water Act (CWA) NPDES program. PCS has little or no data for major new NPDES requirements, such as Concentrated Animal Feeding Operations (CAFOs), Storm Water, and Sanitary Sewer Overflow (SSO). PCS is being modernized to address these serious data gaps, to provide for easy use of, and access to, the system, to utilize current information technology, to support the Agency's initiative for data integration, and to promote the exchange of data with our state partners via the National Environmental Information Exchange Network and the Agency's Central Data Exchange (CDX). The availability of more comprehensive data in a modernized PCS will enhance the Agency's and the states' ability to more effectively manage the NPDES program.

The release of ICIS-NPDES is on schedule for implementation in three waves in FY2006. The first release integrates ICIS Phase 1 (the current ICIS system that supports federal enforcement and compliance reporting) with modernized PCS for the direct user NPDES states and regions. The schedule for the three wave release of the direct user NPDES states and regions are set forth in the table below.

<b>Date</b>	<b>PCS Modernization: ICIS-NPDES First Release Schedule</b>
June 23, 2006	<b>Wave 1 Release</b> in production: <ul style="list-style-type: none"> <li>• All ICIS Phase I federal enforcement and compliance users from Regions and HQ</li> <li>• NPDES states moved from PCS to ICIS: <ul style="list-style-type: none"> <li>• Region 1: Massachusetts, New Hampshire and Rhode Island</li> <li>• Region 2: New York</li> <li>• Region 3: Maryland, District of Columbia</li> <li>• Region 5: Indiana</li> </ul> </li> </ul>
June 23, 2006	<b>Wave 2 Release</b> in production: <ul style="list-style-type: none"> <li>• NPDES states moved from PCS to ICIS: <ul style="list-style-type: none"> <li>• Region 2: Puerto Rico, Virgin Islands</li> <li>• Region 6: New Mexico</li> <li>• Region 8: Utah</li> </ul> </li> </ul>

Date	PCS Modernization: ICIS-NPDES First Release Schedule
	<ul style="list-style-type: none"> <li>• Region 9: Hawaii</li> <li>• Region 10: Alaska, Idaho</li> </ul>
August 21, 2006	<b>Wave 3</b> Release in production: <ul style="list-style-type: none"> <li>• NPDES states moved from PCS to ICIS: <ul style="list-style-type: none"> <li>• Region 1: Connecticut, Maine</li> <li>• Region 3. Pennsylvania</li> <li>• Region 4: Alabama, Georgia</li> <li>• Region 7: Nebraska, Missouri</li> <li>• Region 8: South Dakota, Montana</li> <li>• Region 9: Nevada</li> <li>• Tribes: SR, NN, TT</li> <li>• Territories: GM, GU, AS, CM</li> </ul> </li> </ul>

The second and final release of the modernized system will include the implementation of the remaining non-direct entry user states (XML batch submissions via the CDX-portal and the National Environmental Information Exchange Network). States and tribes are required by regulation, PPA agreements, EPA Policy, and state program delegation agreements to provide NPDES data to the Agency. PCS is the system of record for the NPDES program and, therefore, states have to input data in PCS via direct entry or batch processing. The business process of the NPDES program has evolved over the last 25 years and this new business process will be reflected in the new system and currently is not reflected in the PCS system of today. PCS is being modernized on a different platform and in a different structure. In order for states to continue to provide the required NPDES data to EPA, their data systems and NPDES business processing will have to be modified or enhanced.

FY2006 grant funding will support state and tribal efforts to obtain technical assistance to ensure the continued flow of data from states and tribes to the ICIS-NPDES modernized system, and to conduct feasibility studies and/or requirements analyses to help a state or tribe decide whether or not to adopt the new ICIS-NPDES data system for NPDES program management. The purpose of the assistance agreement is to provide technical assistance to the states to ensure the continued flow of the current and new NPDES required data to the Modernized ICIS-NPDES system. States are currently sending most of this data to the current PCS system. Approximately 24 states use the system to manage the State Authorized NPDES program and the other batch data to the system. The new program requirements are regulation based and data needed to manage the new program requirements will be addressed by ICIS-NPDES. The PCS system will be phased out and eventually will no longer exist and states will be required to provide the data to the new system. For states and tribes that have their own system to support management of the NPDES program, this grant will support their assessing if it is in their best interest to continue to use their state or tribal system or to use ICIS-NPDES.

Examples of state and tribal activities to be covered include:

- Technical assistance to support migration and conversion of state and tribal data from legacy PCS to the new modernized ICIS-NPDES;

The functionality and the structure of the modernized system will be significantly different from that of the current legacy PCS system. Therefore, the migration and conversion of the PCS legacy data to the modernized system, ICIS-NPDES, will require a substantial amount of work to ensure that data migration is accurate, complete and in the right structure. Migration activities will include preparing the data for migration to ICIS-NPDES, building specialized PCS data retrievals, and reviewing data error logs from the migration process. For example, the structure and data for handling general permits in legacy PCS is not the same as ICIS-NPDES. The general permit data in legacy PCS will have to be converted to correspond with the new general permit data requirements of ICIS-NPDES and then migrated to the structure of the modernized system. More details on the ICIS-NPDES data migration process and activities can be found in the document “ICIS-NPDES Data Migration Plan”, dated September 8, 2004. You may request an electronic copy of this document by contacting Lucy Reed at ([reed.lucy@epa.gov](mailto:reed.lucy@epa.gov)).

- Technical assistance for data clean-up to support the state and tribal conversion and migration of data from the legacy PCS system to the new ICIS-NPDES;

A critical part of the conversion and migration of data from legacy PCS to ICIS-NPDES is the data clean up. This includes preparing for migration, the identification of data errors generated in the data migration process, and the correction of data in ICIS-NPDES after the data migration is completed. The clean-up effort will involve some analysis of the data errors identified (including missing data), a determination of how to best correct the errors, and the actual correction of the data in legacy PCS and ICIS-NPDES. More detailed information on ICIS-NPDES data migration clean-up activities can be found in the document “PCS Data Clean-up List”. You may request an electronic copy of this document by Lucy Reed at ([reed.lucy@epa.gov](mailto:reed.lucy@epa.gov)).

- Feasibility study/requirement analysis to support states and tribes in considering options and pros/cons of undertaking a transition to the full use of ICIS-NPDES;

ICIS-NPDES will support state, tribal and EPA requirements for effective management of the NPDES program. The modernized system will contain more comprehensive data for existing (e.g., pretreatment) and new (i.e., CAFOs, SSOs, CSOs, and Storm Water) NPDES program areas and, therefore, support the ability to more effectively identify and target areas with the most significant environmental and human health risk. As a result of using new technology, a desk-top, web-based approach, all users of the system will have easy access to the system, thus allowing much improved retrieval and analysis of data. States and tribes may decide to use ICIS-NPDES as the primary system for managing their day-to-day NPDES program activities. To determine if the modernized system would meet most or all of their needs, an analysis of ICIS-NPDES functionality and data requirements will need to be conducted.

- Technical assistance to support the completion of required data entry into ICIS-NPDES for NPDES wet weather state and tribal facilities (i.e., CAFOs, storm water, SSOs, CSOs.);

Currently in legacy PCS, only a limited amount of data is stored for wet weather

facilities. With ICIS-NPDES, more data will be required for reporting on wet weather facilities. States and tribes can begin to prepare for the entry of the wet weather data in ICIS-NPDES by determining where, and in what format, the data resides in their state or tribe; and by obtaining the required wet weather data in preparation for the ICIS-NPDES XML schema mapping. Alternatively, states or tribes may determine the more efficient process is to do the initial data entry (i.e., facility information, outfall data, and limit data), as appropriate, directly into PCS and the remainder of the wet weather data (not supported by legacy PCS) into ICIS-NPDES after the FY2006 wave releases of the new system.

- Technical assistance to support the completion of required data entry into ICIS-NPDES for minor state or tribal facilities;

Currently in legacy PCS, only a limited amount of data is required for minor facilities. In ICIS-NPDES more data will be required for reporting on minor facilities. For example, Discharge Monitoring Report (DMR) data will be required for minor facilities. Before this DMR data can be entered into the system, other required data (i.e., facility information, outfall data, and limit data) will also need to be entered into PCS. States and tribes can begin entering the minor data in legacy PCS now in preparation for migration into ICIS-NPDES. Alternatively, states or tribes may determine the more efficient process is to do the initial data entry (i.e., facility information, outfall data, and limit data) directly into ICIS-NPDES after the FY2006 wave releases of the new system.

The availability of more comprehensive NPDES data in the modernized system will enhance the ability to more effectively manage the NPDES program.

- Activities to support the development of a state or tribal requirements analysis for complete entry of minor facility NPDES data into ICIS-NPDES;

ICIS-NPDES data entry requirements for minor facilities for some states or tribes will be resource intensive. A requirements analysis for entering the full amount of minor facility data for a state or tribe can be performed to determine the best approach for collecting (if not in a state system) the data. A requirements analysis would also evaluate the steps necessary for data quality assurance checks, reconciliation of legacy PCS and state and tribal data, and data entry.

## **B. Focus Area - Funding Tribal Environmental Compliance and Enforcement Training**

In FY2006, grant funding will support the training of tribal environmental professionals to: (1) improve their ability to conduct compliance monitoring inspections at regulated facilities in Indian country; (2) provide environmental compliance assistance and technical assistance to regulated facilities; and (3) support the enforcement of applicable federal and tribal environmental regulations. In particular, the assistance agreements will support and increase in the number of tribal environmental professionals trained to conduct compliance monitoring inspections and increase understanding of environmental compliance in Indian country. Tribal inspectors are able to assess and monitor compliance at regulated facilities consistent with applicable laws. Similarly, EPA maintains authority to conduct compliance monitoring

inspections in Indian country. EPA also maintains discretionary authority to ask tribes and states to conduct civil compliance monitoring inspections on behalf of the Agency under a variety of federal environmental statutes. Proper training is essential to ensure that tribal inspectors are able to safely and properly conduct inspections. This is essential regardless of whether a tribe or EPA is the primary authority for conducting the inspection. OECA will consider funding for basic inspector training, media-specific inspector training, and/or health and safety training courses. Potential grantees should review and understand the *Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA* (<http://www.epa.gov/compliance/resources/policies/monitoring/inspection/statetribalcredentials.pdf>).

The funding of tribal compliance and enforcement is linked to the EPA Strategic Plan in the following areas:

- Goal 5.1: Improve Compliance
- Goal 5.3: Build Tribal Capacity

Under the project, EPA will support training for tribal environmental professionals to improve the ability to conduct compliance monitoring inspections at regulated facilities in Indian country; provide environmental compliance assistance and technical assistance to regulated facilities; and support the enforcement of applicable federal and tribal environmental regulations.

The following are potential output and outcome measures associated with Tribal Compliance Assurance:

Outputs:

- Increased number of tribal environmental professionals trained in enforcement and compliance assurance areas
- Increased number of compliance monitoring inspections in Indian country; and
- Increased number of tribal with environmental codes containing enforcement provisions

Outcomes:

- Improved understanding of the range of regulated facilities in Indian country will improve tribal environmental decision making, including how to respond to environmental compliance needs in a more timely and appropriate manner
- Improved tribal government knowledge of why compliance assurance and enforcement is an integral part of encouraging businesses and other companies who are regulated to meet their environmental obligations
- Improved facility compliance with federal environmental laws – through increased understanding of environmental obligations and changes in behavior – which protects public health;
- Improved ability of tribes and EPA to understand environmental compliance and enforcement issues in Indian country.

**Statutory Authority:** As a threshold determination, to be selected for funding, a project must consist of activities within the statutory terms of these EPA grant authorities: CAA §103(b)(3),

CWA §104(b)(3), SDWA §1442(a)&(c), RCRA §8001, TSCA §10, FIFRA §20, and MPRSA §203. Most of these statutes authorize grants for the following activities: "research, investigations, experiments, training, demonstrations, surveys and studies." These activities relate generally to the gathering or transferring of information or advancing the state of knowledge. Grant proposals must emphasize this "learning" concept, as opposed to "fixing" an environmental problem via a well-established method. For example, a proposal to install an established software program to upgrade a computer system would not in itself, fall within the statutory terms "research, studies" etc. On the other hand, the statutory term "demonstration" can encompass the first instance of the application of a pollution control technique, or an innovative application of a previously used method. Similarly, the application of established practices may qualify when they are part of a broader project which qualifies under the term "research." However, we cannot fund demonstration projects year after year for an indefinite period of time. Funding priorities must be allowable under 66.709 (Capacity Building Grants and Cooperative Agreements for States and Tribes) of the CFDA. Lastly, federal funds cannot generally be used to provide a match or cost-share for other federal projects.

## **II. Award Information for the Two Focus Areas:**

The funds available are from OECA's Multi-Media State and Tribal Assistance Grants (STAG) appropriation for both grants and cooperative agreements. The total assistance agreement award to be funded is \$2,200,000 and will be awarded to selected proposals in the range of \$50,000 - \$200,000, although proposals below or above that range will be considered. U.S. EPA anticipates that most of the available funding will be directed toward the PCS modernization funding area. The U.S. EPA reserves the right to reject all applications and make no awards under this solicitation. EPA cannot predict that additional funds for these focus areas will be available in future years. Therefore, states and tribes should assume that these funds will be available on a one-time only basis and should not propose projects requiring additional annual funding. Applicants can apply for an assistance agreement and EPA may determine that the proposal would require designation as a cooperative agreement if substantial federal involvement with the recipient during the performance of an activity or project is required. Substantial federal involvement could include: monitoring by EPA, joint operational involvement, EPA prior review or approval of project phases or collaboration regarding the scope of work. Please go to <http://www.epa.gov/compliance/state/grants/stag/definitions.html> for more guidance on when substantial involvement may be required and what that involvement might entail.

**Partial Funding:** EPA reserves the right to partially fund proposals/applications by funding discrete activities, portions, or phases of proposed projects. If EPA decides to partially fund a proposal/application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the proposal/application, or portion thereof, was evaluated and selected for award, and that maintains the integrity of the competition and selection process.

**Additional Awards:** The EPA reserves the right to make additional awards under this announcement consistent with Agency policy, if additional funding becomes available.



Any additional selections for awards will be made no later than four months from the date of the original selection.

### **III. Eligibility Information:**

- A. **Eligibility Information:** State agencies, U.S. territories, multi-jurisdictional State organizations, and federally recognized tribes, including the District of Columbia, with enforcement and compliance assurance responsibilities or responsibilities that support enforcement and compliance assurance including but not limited to data management or research. In addition, state or tribal universities and colleges with expertise in compliance assurance and enforcement issues that arise in Indian country, including training to tribal environmental professionals.
- B. **Cost Sharing Information:** While not required, applicants are encouraged to make a commitment of state or tribal resources towards the total project cost. Applicants will be evaluated on their ability to produce leveraging funds. This can be state or tribal personnel salary dedicated to the project, cash contribution to the project budget, or other “in-kind” contributions. The value of donated or “in-kind” services in the performance of a project should be considered in accordance with OMB Circular A-87, “Cost Principles for State, Local, and Indian Tribal Governments.” Lastly, federal funds cannot generally be used to provide a match or cost-share for other federal projects.
- C. **Substantial Compliance with Submission requirements:**  
Applications/Proposals must substantially comply with the application/proposal submission instructions and requirements set forth in Section IV of this announcement or else they will be rejected. In addition, where a page limit is expressed in Section IV with respect to the proposal/application and /or parts of the application /proposal, pages in excess of the page limitation will not be reviewed. Applications/proposals must be received by the EPA by e-mail, through [www.grants.gov](http://www.grants.gov) or postmarked on or before the solicitation closing date published in Section IV of this announcement. Applications/proposals received after the published closing date will be returned to the sender without further consideration.
- D. **Proper focus areas –**  
Applications that do not address the focus areas of Permit Compliance System (PCS) Modernization or Tribal Compliance Assurance are considered ‘ineligible’ and will not be considered for funding.
- E. **Timely Applications**  
OECA will not review or fund any applications that are received electronically or by mail after May 30, 2006 (close of business) or that are received from ineligible applicants. The applications received after May 30, 2006 may be considered if the delay was a result of acts of nature such as hurricanes.

**IV. Application and Submission Information:** Grant application packages may be submitted in one of three ways: electronically by e-mail, electronically through [www.grants.gov](http://www.grants.gov), or by sending in a hard copy submission. **Regardless of the mode of submission, applicants will submit a package containing the information outlined in Section IV.A.** For applicants submitting the package by e-mail, it is important to note that the applicant must e-mail copies of

the submission to **both** Ginger Gotliffe, [gotliffe.ginger@epa.gov](mailto:gotliffe.ginger@epa.gov), and the appropriate regional contacts (see Section VII) by May 30, 2006. If an applicant does not have access to e-mail or [www.grants.gov](http://www.grants.gov) through a computer, contact Ginger Gotliffe directly for obtaining the application forms. Hard copy submissions of the package using the format in Section IV.A. can be mailed to the U.S. Environmental Protection Agency, 1200 Pennsylvania Ave. N.W., Washington, D.C. 20460 attn: Mail code 2221A, Ginger Gotliffe and one copy to the applicable Regional contact (Section VII) postmarked by May 30, 2006.

Finally, an applicant may submit an application package through [www.grants.gov](http://www.grants.gov). The due date for submitting the package through [www.grants.gov](http://www.grants.gov) is also May 30, 2006. EPA encourages applicants to submit their materials electronically through <http://www.grants.gov>. All forms and application preparation and submission instructions are located at the [www.grants.gov](http://www.grants.gov) web site and are included below in section C.

#### **A. Application Materials:**

The application package must be made up of three items: SF 424, SF 424-A, and the Proposal Narrative:

##### **1. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments to it. Please be sure to include organization fax number and email address in Block 5 of the Form. This form is available at <http://www.epa.gov/ogd/AppKit/application.htm> and <http://www.grants.gov>. Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by call the toll-free DUNS number request line at 1-866-705-5711.

##### **2. Standard Form SF 424A – Budget Information**

Complete the form. There are no attachments. The total amount of federal funding requested for the project should be shown on line 5 (E) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22. This form is available at <http://www.epa.gov/ogd/AppKit/application.htm> and <http://www.grants.gov>.

##### **3. Submission Format for Proposals:**

Proposals must not exceed 14 pages prepared in Microsoft Word or WordPerfect, and follow the format 12 point font, on 8 ½ by 11 inch paper.

##### **Project Information to be included:**

- State or Tribe and Department:
- Title of Project:
- Focus Area: Section I: PCS Modernization or Tribal Compliance Assurance.
- Total Funds Requested from EPA:
- Total Project Cost (including state/tribe cash and in-kind contributions):
- Contact Person: (*name, title, address, phone, fax, & email*)
- Preferred Assistance Agreement: (*Grant or cooperative agreement*)

##### **Summary:**

- Summary of the problem being addressed;
- Summary of project goal(s);
- Summary of project components;
- Summary of how the project components will address the problem and attain the goals.

**Summary Work Plan:**

- Proposed activities - list and describe activities and how they relate to the proposal criteria;
- Measures and Outcomes - how will the success of the project be measured?

Include both output and environmental outcome measures;

- Plan for tracking and measuring environmental results;
- Sharing results - how will the results of the project be shared across states or tribes?

**Project Milestones:** OECA is looking to fund projects for 3 years or less. List project milestones with estimated dates, including estimated duration of project.

**Project Costs:**

- - Include a detailed itemized budget for all project costs and complete the SF 424A (budget information) -- distinguish the funds requested from any state or tribe contributions (in-kind or other)

**Addressing the Section V Ranking Criteria:**

Ranking criteria for the two funding areas, PCS and Tribal Compliance Assurance, are presented in section V below. Applicants must address all ranking criteria for the funding area for which they are applying in their proposal.

**Environmental Results Past Performance Information:**

Applicants previously awarded an OECA STAG grant within the last 5 years, or who have an active OECA STAG grant, must provide in their proposal information addressing their past and/or current performance in documenting and/or reporting on their progress towards achieving the project's planned outcomes and outputs (e.g., results). Likewise, if an applicant with a previous grant or current grant has not been making progress towards the project's stated goal, the applicant must provide in their proposal information explaining how their documentation and reporting contained satisfactory information to explain why progress wasn't being made and explain the steps taken by the applicant to successfully get their project back on track. Applicants should identify the agreements and a point of contact for each such agreement. Applicants who have no relevant or available past performance reporting history will receive a neutral score for this factor in section V.

**Note:** Applicants without OECA STAG grants history should submit a list of all federally funded assistance agreements, preferably EPA agreements, that have been performed within the last five years that were similar in scope and relevance to the proposed project and use those assistance agreements to comply with this section. Applicants without any relevant or available past performance environmental results reporting information should provide a statement to that effect in the proposal and they will receive a neutral score for this factor under section V.

### **B. Submission Dates and Times**

- May 30, 2006 – Deadline for submitting application packages described in Section IV.A of the announcement to EPA or thru grants.gov.
- July 30, 2006 – Notifications sent to applicants regarding funding recommendations.
- August 31, 2006 – Completed grant applications, certifications are due to EPA regional office.
- September 30, 2006– Reprogram funding to appropriate Regions.
- First and Second Quarter of FY 2007 - Issuance of FY 2006 STAG Program awards.

**C. Grants.gov submission:** If you wish to apply through grants.gov, the electronic submission of your proposal package must be made by an official representative of your institution who is registered with grants.gov and authorized to sign applications for federal assistance. For more information, go to <http://www.grants.gov> and click on “Get Started” and then click on “For AORs” (Authorized Organization Representative) on the left side of the page. Note that the registration process may take a week or longer to complete. If your organization is not currently registered with grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process for this grant program, go to <http://www.grants.gov> and click on the “Apply for Grants” tab at the top of the page. Then click on “Apply Step 1: Download a Grant Application Package and Application Instructions” to download the PureEdge viewer and obtain the application package and instructions for applying under this announcement using grants.gov ([http://apply.grants.gov/forms\\_apps\\_idx.html](http://apply.grants.gov/forms_apps_idx.html)). You may retrieve the application package and instructions by entering the Funding Opportunity Number, EPA-OECA-NPMAS-06-001, or the CFDA number 66.709 in the space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button “How to Apply” at the top right of the synopsis page for this announcement on <http://www.grants.gov>. (To find the synopsis page go to <http://www.grants.gov> and click on “Find Grant Opportunities” button on the top of the page and then go to EPA opportunities.)

Application/proposal materials submitted through grants.gov will be time/date stamped electronically.

**The following forms and documents are required to be submitted if applying thru grants.gov under this announcement as identified in Section IV. A of the announcement:**

- I. Application for Federal Assistance (SF-424)
- II. Budget Information for Non-Construction Programs (SF-424A)
- III. Proposal-prepared as described in Section IV. A of the announcement.

### **I. Standard Form (SF) 424, Application for Federal Assistance**

Complete the form. There are no attachments. Please be sure to include the organization fax number and email address in Block 5 of the Standard Form SF 424.

Please note that the organizational Dun and Bradstreet (D&B) Data Universal Number System (DUNS) number must be included on the SF-424. Organizations may obtain a DUNS number at no cost by calling the toll-free DUNS number request line at 1-866-705-5711.

## **II. Standard Form SF 424A – Budget Information:**

Complete the form. There are no attachments.

The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

## **III. Proposal-prepared as described in Section IV. A of the announcement.**

**Documents I through III** listed above should appear in the “Mandatory Documents” box on the Grants.gov Grant Application Package page.

For documents I and II, click on the appropriate form and then click “Open Form” below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click “Save.” When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, “Move Form to Submission List.” This action will move the document over to the box that says, “Mandatory Completed Documents for Submission.”

For document III, you will need to attach electronic files. Prepare your narrative proposal as described in Section IV. A of the announcement and save the document to your computer as an MS Word or WordPerfect file. When you are ready to attach your proposal to the application package, click on “Project Narrative Attachment Form,” and open the form. Click “Add Mandatory Project Narrative File,” and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click “View Mandatory Project Narrative File” to view it. Enter a brief descriptive title of your project in the space beside “Mandatory Project Narrative File Filename;” the filename should be no more than 40 characters long. If there other attachments that you would like to submit to accompany your proposal, you may click “Add Optional Project Narrative File” and proceed as before. When you have finished attaching the necessary documents, click “Close Form.” When you return to the “Grant Application Package” page, select the “Project Narrative Attachment Form” and click “Move Form to Submission List.” The form should now appear in the box that says, “Mandatory Completed Documents for Submission.”

Once you have finished filling out all of the forms/attachments and they appear in one of the “Completed Documents for Submission” boxes, click the “Save” button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: “Applicant Name – FY06 – Assoc Prog Supp – 1<sup>st</sup> Submission” or “Applicant Name – FY 06 Assoc Prog Supp – Back-up Submission.” If it becomes necessary to submit an amended package at a later date, then the name of the 2<sup>nd</sup> submission should be changed to “Applicant Name – FY06 Assoc Prog Supp – 2<sup>nd</sup> Submission.”

Once your application package has been completed and saved, send it to your AOR for submission to U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov.

In the “Application Filing Name” box, your AOR should enter your organization’s name (abbreviate where possible), the fiscal year (e.g., FY06), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the “Grant Application Package” page, your AOR may submit the application package by clicking the “Submit” button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she may contact

Grants.gov for assistance by phone at 1-800-518-4726 or email at [support@grants.gov](mailto:support@grants.gov) or contact Ginger Gotliffe at 202-564-7072.

If you have not received a confirmation of receipt from EPA (*not from* [support@grant.gov](mailto:support@grant.gov)) within 30 days of the application deadline, please contact Ginger Gotliffe. Failure to do so may result in your application not being reviewed.

#### **D. Intergovernmental Review: Not applicable**

#### **E. Treatment of Late Proposals/Application**

OECA will not review or fund any application packages that are received electronically or postmarked (for hard copy proposals) after May 30, 2006 (close of business) or that are received from ineligible applicants.

#### **F. Confidential Business Information Provision**

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

#### **G. Additional Application Submissions at the Time of Selection.**

After the grant proposals have been reviewed and the selections have been made, the grantees selected will need to provide the remainder of the grant/cooperative agreement application. Those items can be submitted electronically or through [www.grants.gov](http://www.grants.gov). Hard copy submissions will be accepted as discussed in Section IV. Some of the standard forms may not be applicable to all grantees and will not need to be submitted. Further submission instructions will be provided at that time.

### **V. Application Review Information**

#### **A. Ranking Criteria**

##### **Evaluation and Ranking Criteria for PCS Proposals:**

All PCS proposals will be evaluated and ranked based on the criteria outlined below. The following four criteria and associated points will be used by EPA to evaluate the proposals:

(a) [25 points] Existing Use of PCS. The proposal must clearly describe the existing use of the PCS system (e.g., support management of the NPDES program); how data is currently entered into PCS; and the existing process used for ensuring the accuracy and completeness of data entry requirements (e.g., Water Enforcement National Database (WENDB));

(b) [30 points] Data Clean up and Migration. The proposal must clearly describe the plan

and approach for the data clean up in PCS, especially how data on minor facilities will be improved. The proposal must clearly describe any quality assurance checks planned for development to ensure the improvement of the quality of the minor data entered into PCS and/or ICIS-NPDES. The proposal should clearly describe data migration and conversion activities planned to be performed to ensure that the data migrated from legacy PCS to ICIS-NPDES is accurate, complete, and in the correct format. The proposal must clearly describe activities related to the coordination needed between EPA and the states or tribes to ensure the data migration effort is completed. The proposal must clearly describe the plans for tracking and determining the status of the data migration and data clean-up efforts. The proposal must show how this work would enhance the state or tribal ability to manage the NPDES program including, assessing environmental conditions and results.

(c) [30 points] Use of ICIS-NPDES. Proposals must clearly identify the state or tribal activities to be performed that will ensure the states or tribes continue to meet their regulatory NPDES requirements to report to EPA. Activities identified should include how the states and tribes will ensure continued data flow and data entry to ICIS-NPDES and how the states or tribes will implement business practices to fulfill meeting new data requirements (i.e., wet weather). The proposal must clearly describe the analyses or studies to be conducted to support the state's full use of the modernized system.

(d) [10 points] Applicants will be evaluated based on how well they documented and/or reported (e.g., by filing timely progress/final technical reports; or by otherwise demonstrating how they adequately documented and reported) on their progress towards achieving the expected outputs and outcomes (e.g., results) under assistance agreements awarded within the last 5 years and; if they were not making such progress whether the documentation and/or reports satisfactory explained why not. In evaluating applicants under this factor, the Agency will consider the information supplied by the applicant in its proposal, and may also consider relevant information from other sources including Agency files (e.g., Grantee Compliance Database) and prior/current grantors (e.g., to verify and/or supplement the information provided by the applicant.) Applicants with OECA STAG grants history should submit a list of those grants and use them to comply with this section. Applicants without OECA STAG grants history should submit a list of all EPA and other Federal agency assistance agreements that your organization performed within the last five years that were similar in scope and relevance to the proposed project and use those assistance agreements to comply with this section. Applicants without any prior assistance agreement experience should provide a statement of that and will receive a neutral score for this factor. Applicants will also be evaluated on their Plan for Tracking and Measuring Environmental Results. This Plan should address expected outputs and outcomes from their proposed efforts under this FY 2006 solicitation notice.

(e) [5 points] While not required, applicants will be evaluated on their ability to produce leveraging funds. Under this criteria, applicants will be evaluated based on the extent they demonstrate (i) how they will coordinate the use of EPA funding with other Federal and/or non Federal sources of funds to leverage additional resources to carry out the

proposed project(s) and/or (ii) that EPA funding will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources.

Applicants may use their own funds or other resources for a voluntary match or cost share if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for matches or cost shares. Other Federal grants may not be used as matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants)

**Evaluation and Ranking Criteria for Tribal Compliance Assurance Proposals:** All tribal training proposals will be evaluated and ranked based on the five criteria outlined below.

**Experience Training Tribal Environmental Professionals (40 Points Total. Each Element is worth 10 points)** Extent to which the proposal demonstrates applicant's expertise and experience:

- Evidence of adequate environmental staff or ability to quickly hire new staff with clear expertise in developing new or reviewing and revising existing training on compliance assistance, compliance monitoring, and enforcement matters. Adequacy demonstrated by existing or planned environmental knowledge about the proposed activity and the ability to conduct the proposed activity.
- Evidence that the recipient understands the training standards applicable to EPA inspectors and inspectors authorized by EPA to conduct inspections on behalf of EPA. Evidence of understanding would include information on how the course content would be consistent with EPA guidelines and how the course content would be consistent with tribal approaches to conducting inspections. See the *Guidance for Issuing Federal EPA Inspector Credentials to Authorize Employees of State/Tribal Governments to Conduct Inspections on Behalf of EPA*. (contact Jonathan Binder at [binder.jonathan@epa.gov](mailto:binder.jonathan@epa.gov) for Guidance)
- Evidence that the grantee has experience training Native Americans in a culturally sensitive manner, including the ability to recruit tribal and non-tribal course instructors, to support the improved tribal compliance assurance programs and the *EPA Policy for the Administration of Environmental Programs on Indian Reservations*.
- Evidence in the ability to develop and maintain meaningful relationships and acceptance by tribal members and governments with regard to the types of inspector training tribes need to conduct inspections under tribal and/or federal authority.

**Project Description and Organizational Capability (20 Points)**

Extent to which the proposal effectively addresses and demonstrates:

- Knowledge and experience related to compliance assistance, compliance monitoring, and enforcement in Indian country both under federal and tribal laws and requirements, including how tribes and EPA conduct inspections in Indian country and environmental challenges and conditions in Indian country.



- Significant knowledge of and experience with federally-recognized Indian tribes, tribal sovereignty, including the interplay between Federal environmental laws, Federal Indian Law, and tribal environmental laws (e.g., the Federal Trust Relationship, *Montana v. United States*, the *EPA Policy for the Administration of Environmental Programs on Indian Reservations*, and OECA's National Tribal Compliance Assurance Priority.
- Knowledge and experience in managing similar training programs and how administration of the proposed project will further the recipient's mission.
- Experience developing and delivering training courses in both lecture and interactive formats that are accessible to tribal environmental professionals.

#### **Performance Measurement (15 Points)**

Extent to which the proposal demonstrates applicant's expertise and experience with:

- Plan for Tracking and Measuring Environmental Results, outputs and outcomes
- An effective method to identify pre-training knowledge about the information to be conveyed and post-test understanding of the information conveyed.
- An effective method for tracking the number of tribal environmental professionals trained, their post - training activities, and changes in the number and methods of tribes carrying out compliance assurance and enforcement activities in Indian country.

#### **Location and Marketing (15 Points)**

- Applicant's ability to provide training to tribal environmental professionals in locations in or near Indian country. Proximity is important to successful performance under this grant because close contact and demonstration of accessibility indicates an ability to ensure participation of a diverse pool of tribal environmental professionals and impacts travel costs associated with travel to/from the training.
- Applicant's ability to ensure that tribes located throughout the United States, including those in Alaska, obtain information about the training activities (dates, costs, potential training needs) and have the ability to attend the training. Demonstrated by past practice and implementation plan outlined in grant submission proposal.

#### **Resources (5 Points)**

- Is the budget and work plan time frame clearly stated, detailed, and appropriate to achieve the project's objectives?
- Does applicant propose other sources of funding for the project (including use of in-kind goods and services)?
- Have resources been committed by other project stakeholders?

Under this criteria, applicants will be evaluated based on the extent they demonstrate (i) how they will coordinate the use of EPA funding with other Federal and/or non Federal sources of funds to leverage additional resources to carry out the proposed project(s) and/or (ii) that EPA funding will compliment activities relevant to the proposed project(s) carried out by the applicant with other sources of funds or resources. Applicants may use their own funds or other resources for a voluntary match or cost share if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for matches or cost shares. Other Federal grants may not be used as

matches or cost shares without specific statutory authority (e.g. HUD's Community Development Block Grants)

### **Past Reporting History (5 Points)**

Applicants will be evaluated based on how well they documented and/or reported (e.g., by filing timely progress/final technical reports; or by otherwise demonstrating how they adequately documented and reported) on their progress towards achieving the expected outputs and outcomes (e.g., results) under assistance agreements awarded within the last 5 years and; if they were not making such progress whether the documentation and/or reports satisfactory explained why not. In evaluating applicants under this factor, the Agency will consider the information supplied by the applicant in its proposal, and may also consider relevant information from other sources including Agency files (e.g., Grantee Compliance Database) and prior/current grantors (e.g., to verify and/or supplement the information provided by the applicant.) Applicants with OECA STAG grants history should submit a list of those grants and use them to comply with this section. Applicants without OECA STAG grants history should submit a list of all EPA and other Federal agency assistance agreements that your organization performed within the last five years that were similar in scope and relevance to the proposed project. Applicants without any prior assistance agreement experience should provide a statement of that and will receive a neutral score for this factor.

**B. Additional Selection Factors** – Applicants will be evaluated on the extent to which they have received prior funding and increased consideration will be given to those that have not received prior funding.

### **C. Review and Selection Process**

All applications are initially reviewed using the eligibility criteria (section III). Once determined that they meet eligibility factors, then applications will be evaluated on the criteria (Section V.A and B) by one or more program experts familiar with the project funding areas. In general, program experts are composed of EPA Headquarters and Regional program analysts, environmental protection specialists, and computer analysts who are experts in their respective areas and proficient in the technical subjects they are reviewing. Reviewers assign a numeric score to each ranking criteria area. Once an initial scoring has been completed by the Regional reviewer, a consensus panel will convene to analyze and discuss the scoring results and finalize a list of projects to be funded based on the ranking of the final scores. When the consensus panel has finalized their evaluation and scoring, a list of recommended projects will be submitted to the Approving Official. The Approving Official will have the final authority to make the selection. The review process is designed to evaluate each application for the potential grantees' ability to demonstrate how they will fulfill the requirements in each criteria category. The applicant should explain how they will fulfill the requirements by including timetables, schedules, interim products, and planned activities. The review process also is designed to evaluate each applicant on their knowledge, experience, and familiarity with the program funding area to assure that projects are completed successfully and in a timely manner.

## **VI. Award Administration Information**

### **A. Award Notices**

Notices will be made at the end of July 2006. The applicant will then need to complete the full application either electronically, through [www.grants.gov](http://www.grants.gov), or by hard copy submission.

### **B. Reporting**

Awarded recipients will be required to submit semi-annual and final progress reports to their project officer and to Ginger Gotliffe. A template reporting form will be e-mailed to all recipients. Recipients will also be required to complete annual financial status reports. All reports must be prepared in either Word or WordPerfect formats and delivered electronically to the appropriate project officer.

### **C. Dispute Resolution Provision**

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at:

<http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm>

**VII. Agency Contacts:** Questions about this solicitation notice or the grant program in general may be addressed to Ginger Gotliffe, at [gotliffe.ginger@epa.gov](mailto:gotliffe.ginger@epa.gov) or (202) 564-7072. The EPA regional contacts are listed below.

### **EPA Regional Contacts**

#### EPA Region I

Enforcement Coordinator:	Joanne Jerison – 617-918-1781	<a href="mailto:jerison.joanna@epa.gov">jerison.joanna@epa.gov</a>
Enforcement Div. Dir.:	Stephen Perkins – 617-918-1701	<a href="mailto:perkins.stephen@epa.gov">perkins.stephen@epa.gov</a>
Assist and Pol Prev:	Thomas D'Avanzo - 617-918-1801	<a href="mailto:davanza.thomas@epa.gov">davanza.thomas@epa.gov</a>

#### EPA Region II

Enforcement Coordinator:	Barbara McGarry – 212-637-4072	<a href="mailto:mcgarry.barbara@epa.gov">mcgarry.barbara@epa.gov</a>
Enforcement Div Dir :	Dore LaPosta – 212-637-4000	<a href="mailto:laposta.dore@epa.gov">laposta.dore@epa.gov</a>

#### EPA Region III

Enforcement Coord:	Samantha Fairchild - 215-637-4072	<a href="mailto:fairchild.samantha@epa.gov">fairchild.samantha@epa.gov</a>
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#### EPA Region IV

Enforcement Coord:	Bruce Miller - 404-562-9679	<a href="mailto:miller.bruce@epa.gov">miller.bruce@epa.gov</a>
Enforcement Div Dir:	Mary Kay Lynch – 404-562-9655	<a href="mailto:lynch.mary-kay@epa.gov">lynch.mary-kay@epa.gov</a>

#### EPA Region V

Enforcement Coord:	Tinka Hyde - 312-886-9296	<a href="mailto:hyde.tinka@epa.gov">hyde.tinka@epa.gov</a>
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#### EPA Region VI

Enforcement Coord:	Connie Overbay – 214-665-7274	<a href="mailto:overbay.connie@epa.gov">overbay.connie@epa.gov</a>
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EPA Region VII

Enforcement Coord:

Additional Contact:

Mark Hague - 913-551-7546

Pamela Johnson – 913-551-7480

[hague.mark@epa.gov](mailto:hague.mark@epa.gov)

[johnson.pamelak@epa.gov](mailto:johnson.pamelak@epa.gov)

EPA Region VIII

Enforcement Coord:

Enforcement Div Dir:

Art Palomares – 303-312-6053

Carol Rushin – 303-312-6051

[palomares.art@epa.gov](mailto:palomares.art@epa.gov)

[rushin.carol@epa.gov](mailto:rushin.carol@epa.gov)

EPA Region IX

Enforcement Coord

Additional Contact:

Jim Grove – 415-947-4263

Kate Nooney- 415-947-4266

[grove.jim@epa.gov](mailto:grove.jim@epa.gov)

[nooney.kate@epa.gov](mailto:nooney.kate@epa.gov)

EPA Region X

Enforcement Coord:

Enforcement Div Dir:

Deborah Flood – 206-553-2722

Mike Bussell – 206-553-4198

[flood.deborah@epa.gov](mailto:flood.deborah@epa.gov)

[bussell.mike@epa.gov](mailto:bussell.mike@epa.gov)